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| 09/963,292      | 09/25/2001  | David Gok Louie      | M-11978 US          | 9643             |

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EXAMINER

WON, MICHAEL YOUNG

ART UNIT PAPER NUMBER

2155

DATE MAILED: 05/27/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

|                              |                                      |                                     |  |
|------------------------------|--------------------------------------|-------------------------------------|--|
| <b>Office Action Summary</b> | <b>Application No.</b><br>09/963,292 | <b>Applicant(s)</b><br>LOUIE ET.AL. |  |
|                              | <b>Examiner</b><br>Michael Y. Won    | <b>Art Unit</b><br>2155             |  |

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 18 March 2005.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-37 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-37 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### **DETAILED ACTION**

1. Claims 1-37 have been re-examined and are pending with this action.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1-10 are rejected under 35 U.S.C. 102(b) as being anticipated by Tajalli et al. (US 5,361,359 A).

As per claim 1, Tajalli teaches an apparatus for creating an audit trail for an application program (see col.4, lines 54-59 and col.6, lines 63-65), wherein the application program defines one or more business components (see col.1, lines 24-38) and is executable on an application server, the apparatus comprising: means for selecting: the business components to be audited from the one or more business components (see col.1, lines 24-38: "inventory records" and col.7, lines 1-14); and one or more operations to be audited (see col.6, lines 63-65 and col.15, line 61 to col.16, line 9); wherein the means for selecting the business components to be audited and the

operations to be audited is included in the application program (implicit: see col.7, lines 9-14 and col.16, lines 16-24).

As per claim 2, Tajalli further teaches wherein the application program further comprises: means for detecting when the selected operations are performed (see col.18, lines 45-50).

As per claim 3, Tajalli further teaches wherein the application program further comprises: means for generating an audit transaction record regarding the business component when the selected operations are detected (see col.7, lines 1-3 and col.16, lines 30-36).

As per claim 4, Tajalli further teaches wherein the operations include at least one of: update, add, copy, and delete (see col.10, lines 7-13).

As per claim 5, Tajalli teaches of further comprising user interface means for allowing the user to restrict access to the audit trail by at least one of: an employee identifier, an employment position, and an area of responsibility (see col.15, line 66 to col.16, line 1).

As per claim 6, Tajalli teaches of further comprising means for storing the audit transaction record in an external database (see Fig.1 and Fig.3, #118).

As per claims 7, Tajalli teaches of further comprising means for storing the audit transaction record in a file (see Fig.1, #119).

As per claim 8, Tajalli teaches of further comprising means for importing the audit transaction record stored in the file to a database (see col.16, lines 44-46).

As per claim 9, Tajalli further teaches wherein the audit transaction record includes at least one of: an identifier for the entity that accessed the business component or the field, the operation that was performed on the business component, when the operation was performed, a previous value of the field, a current value of the field, and how the value of at least a portion of the business component was changed (see col.16, lines 16-24; "identity of any "objects" accessed").

As per claim 10, Tajalli teaches of further comprising means for allowing the user to query one or more of the audit transaction records (implicit: see col.17, lines 14-15).

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 12-22, 24-32 and 34-37 are rejected under 35 U.S.C. 103(a) as being unpatentable over Tajalli et al. (US 5,361,359 A) in view of Smaha et al. (US 5,557,742 A).

### **INDEPENDENT:**

As per claim 14, Tajalli teaches a system for creating an audit trail in an information system (see col.4, lines 54-59 and col.6, lines 63-65), comprising: an

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application program (see col.2, lines 32-49) comprising: at least one business component (see col.1, lines 24-38: "inventory records"); a user interface operable to allow a user to select: one or more operations to be audited on (see col.6, line 67 to col.7, line 4 and col.16, lines 16-24: "configuration data... may indicate which requests are to be audited"); a set of instructions operable to detect when the selected operations are performed (see col.18, lines 45-50); and a set of instructions operable to generate an audit transaction record when the selected operations are detected (see col.7, lines 1-3).

Although Tajalli teaches of business components (see col.1, lines 24-38: "inventory records"), Tajalli does not explicitly teach of one or more fields selectable by a user. Smaha teaches of one or more fields selectable by a user (see Fig.6b, #172 & #174; and col.11, lines 9-13).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to employ the teachings of Smaha within the system of Tajalli by implementing one or more selectable fields within the business component of the system for creating an audit trail in an information system because such an implementation enables the "administrator" to specify further the "audit configuration data" (see Tajalli: col.16, lines 16-24) for "identifying particular usage patterns that are likely to indicate unauthorized use" (see Tajalli: col.17, lines 16-19) and Smaha teaches that "many processing systems support sophisticated event notification and alarm systems" (see Smaha: col.10, lines 62-65). Therefore, one of ordinary skill in the art would employ additional field within the components to further specify audit

configuration data to better assess an indication of unauthorized use and “accurately monitor system uses” (see Tajalli: col.7, lines 9-10).

As per claim 24, Tajalli teaches a method for creating an audit trail in an information system (see col.4, lines 54-59 and col.6, lines 63-65), the method comprising; performing audit trail functions in an application program (see abstract and col.16, lines 13-24) including: generating a list of business components (see col.1, lines 24-38: “inventory records”) included in the application program (implicit: see col.16, lines 13-15 “request is in the set of requests to be audited”); allowing the user to select one or more of the business components to be audited (see col.6, line 67 to col.7, line 4 and col.16, lines 16-24); and allowing the user to select one or more of the operations to be audited for the selected business components (see col.16, lines 11-24).

Although Tajalli teaches of business components (see col.1, lines 24-38: “inventory records”), Tajalli does not explicitly teach of presenting a list and the operations that can be performed to the user. Smaha teaches of presenting a list and the operations that can be performed to the user (see col.9, lines 1-3 & 8-14).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to employ the teachings of Smaha within the system of Tajalli by implementing presenting a list and the operations that can be performed to the user within the business component of the method for creating an audit trail in an information system because such an implementation enables the “administrator” to specify further the “audit configuration data” (see Tajalli: col.16, lines 16-24) for “identifying particular usage patterns that are likely to indicate unauthorized use” (see Tajalli: col.17, lines 16-

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19) and Smaha teaches that "selection process 120 allows a user to control the present embodiment to further limit the misuses for which to search from the maximum set of all misuses" (see Smaha: col.8, lines 63-66). Therefore, one of ordinary skill in the art would employ presenting a list and the operations that can be performed to the user/administrator so that the user/administrator may accurately have more control of limiting misuses "to the extent he desires" (see Tajalli: col.7, lines 9-10).

**DEPENDENT:**

As per claims 12 and 34, Tajalli and Smaha further teaches wherein the one or more business components comprise one or more fields, and further comprising: means for selecting the one or more fields to be audited; and means for generating an audit transaction record when one of the selected operations on one of the selected fields is detected (see claim 14 rejection above).

As per claims 13, 22 and 35, Tajalli does not explicitly teach of further comprising means for allowing the user to restore the one or more of the fields to a previous state or value. Smaha teaches of allowing the user to restore the one or more of the fields to a previous state or value (see col.9, lines 49-55). It would have been obvious to a person of ordinary skill in the art at the time the invention was made to employ the teachings of Smaha within the system of Tajalli by implementing restoring the one or more of the fields to a previous state or value within the apparatus, system and method for creating an audit trail for an application program in an information system because such functionality allows the system to go back to the state prior to a "misuse".

As per claims 15 and 25, Tajalli further teaches wherein the operations include at least one of: update, add, copy, and delete (see claim 4 rejection above).

As per claims 16 and 26, Tajalli teaches of further comprising user interface means for allowing the user to restrict access to the audit trail by at least one of: an employee identifier, an employment position, and an area of responsibility (see claim 5 rejection above).

As per claims 17 and 28, Tajalli teaches of further comprising means for storing the audit transaction record in an external database (see claim 6 rejection above).

As per claims 18 and 29, Tajalli teaches of further comprising means for storing the audit transaction record in a file (see claim 7 rejection above).

As per claims 19 and 30, Tajalli teaches of further comprising means for importing the audit transaction record stored in the file to a database (see claim 8 rejection above).

As per claims 20 and 31, Tajalli further teaches wherein the audit transaction record includes at least one of: an identifier for the entity that accessed the business component or the field, the operation that was performed on the business component, when the operation was performed, a previous value of the field, a current value of the field, and how the value of at least a portion of the business component was changed (see claim 9 rejection above).

As per claims 21 and 32, Tajalli teaches of further comprising means for allowing the user to query one or more of the audit transaction records (see claim 10 rejection above).

As per claim 27, Tajalli teaches of further comprising: detecting when the selected operations are performed on one of the selected business components; and generating an audit transaction record when the selected operations are detected (see claim 2 and 3 rejections above).

As per claim 36, Tajalli and Smaha further teach of a computer program product comprising: instructions for implementing the method of claim 24 (see Tajalli: col.15, lines 48-52 and Smaha: col.3, lines 56-58).

As per claim 37, Tajalli and Smaha further teach of a data signal comprising: instructions for implementing the method of claim 24 (implicit: see Tajalli: col.15, lines 48-52; col.17, line 6; and Smaha: col. 3, lines 41 & 56-58).

4. Claims 11 is rejected under 35 U.S.C. 103(a) as being unpatentable over Tajalli et al. (US 5,361,359 A) in view of Darnell et al. (US 5,596,700 A).

As per claim 11, Tajalli does not explicitly teach of further comprising means for prompting the user to enter a comment or a description of the operation when the selected operations are detected. Darnell teaches of prompting the user to enter a comment or a description of the operation when the selected operations are detected (see col.3, lines 19-24 and col.11, lines 30-31). It would have been obvious to a person of ordinary skill in the art at the time the invention was made to employ the teachings of within the system of Tajalli by implementing prompting the user to enter a comment or a description of the operation when the selected operations are detected within the apparatus of creating an audit trail for an application program because such an

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implementation provide numerous benefits similar to the functionality of writing notes on paper (see Darnell: col.1, lines 42-44), notepads or sticky pads (i.e., for reminders or sharing information with others).

5. Claims 23 and 33 are rejected under 35 U.S.C. 103(a) as being unpatentable over Tajalli et al. (US 5,361,359 A) and Smaha et al. (US 5,557,742 A) further in view of Darnell et al. (US 5,596,700 A).

As per claims 23 and 33, Tajalli and Smaha do not explicitly teach of further comprising means for prompting the user to enter a comment or a description of the operation when the selected operations are detected. Darnell teaches of prompting the user to enter a comment or a description of the operation when the selected operations are detected (see claim 11 rejection above).

### ***Response to Arguments***

6. Applicant's arguments filed March 18, 2005 have been fully considered but they are not persuasive.

A. In response to the argument regarding independent claim 1, *Tajalli* clearly teaches the limitation "wherein the means for selecting the business components to be audited and the operations to be audited is included in the application program".

Additional reference locations have been provided to clear any ambiguities. In col.16,

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lines 13-24, *Tajalli* teaches of an "audit configuration data" which indicates requests to be audited and which can be specified by an administrator ("means for selecting") and is employed by the AA system. An application program is merely a program to perform an application such as the functions taught above and therefore inherent, therefore because *Tajalli* teaches the functions of a "means for selecting" it is inherent that an application program provides such means.

Furthermore, the cited excerpt from *Tajalli* by the applicant, column 15, lines 20-24, is merely teaching that **another** application program cannot interfere with the "auditing or the storage of usage auditing in any way" and not the application program performing the auditing itself. It is noted that there are plurality of application programs and just because *Tajalli* mentions the term "application program" does not explicitly imply that the application program is **the** program performing the auditing. Also, *Tajalli* is teaching that an application program and user cannot affect the process of auditing and the storage of the collected data. These are during and post-auditing processes and not pre-auditing steps as recited in the claims. Column 7, lines 5-8, again reiterates that the "application programs and ordinary users... are prevented from disabling the auditing ***specified by the administrator*** and from erasing or modifying the audit data **collected**".

For the reasons above and with respect to the rejections above, dependent claims 2-13 remain rejected.

B. In response to the argument regarding independent claim 14, *Tajalli* clearly teaches the broad limitation of allowing a user to “select: one or more operations to be audited on”. See rejection above and see col.7, line 7, “auditing specified by the administrator”.

Since *Tajalli* does not explicitly teach of fields, *Smaha* is relied upon to further teach this limitation. The cited reference location col.11, lines 9-13, clearly and explicitly teach of fields selectable by a user. In response to applicant's arguments against the references individually, one cannot show nonobviousness by attacking references individually where the rejections are based on combinations of references. See *In re Keller*, 642 F.2d 413, 208 USPQ 871 (CCPA 1981); *In re Merck & Co.*, 800 F.2d 1091, 231 USPQ 375 (Fed. Cir. 1986). The combination of the two references clearly teaches the broad recited claim limitation.

In response to the arguments regarding the “set of instructions operable to detect...” and the “set of instructions operable to generate...”, it is implicit that the detection and the generation is a function of an application program that within the AA system.

For the reasons above and with respect to the rejections above, dependent claims 15-23 remain rejected. Similar to the rejection of claim 14, claims 12 and 34 remain rejected.

C. In response to the argument regarding independent claim 24, *Tajalli* clearly teaches the limitation of “performing audit trail functions in an application

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program". In the abstract, *Tajalli* teaches "A system and a method for auditing and controlling the use of a computer. An operating system and selected programs and data, referred to as approved applications and approved data, are stored on a protected media" which clearly teaches that the system is an application program to perform the functions of auditing.

The cited reference locations clearly imply that the requests may be business components to be audited.

For the reasons above and with respect to the rejections above, dependent claims 25-37 remain rejected.

D. In response to the argument regarding dependent claims 13, 22, and 35, *Smaha* further teaches in col.8, lines 63-66, that a user is given the control in the present embodiment of the invention.

E. In response to applicant's arguments regarding dependent claims 11, 23, and 33, against the references individually, one cannot show nonobviousness by attacking references individually where the rejections are based on combinations of references. See *In re Keller*, 642 F.2d 413, 208 USPQ 871 (CCPA 1981); *In re Merck & Co.*, 800 F.2d 1091, 231 USPQ 375 (Fed. Cir. 1986). The limitation of "operation that has been selected for auditing" is taught by *Tajalli* and therefore *Darnell* is not relied upon.

7. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

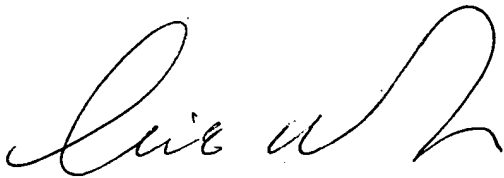
A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael Y. Won whose telephone number is 571-272-3993. The examiner can normally be reached on M-Th: 7AM-5PM.

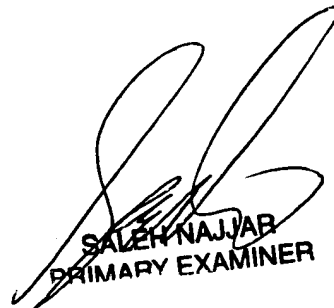
The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Michael Won



May 24, 2005



SALEH NAJJAR  
PRIMARY EXAMINER